

FORM A – SBIR COVER SHEET

1. PROPOSAL NUMBER: Subtopic Number
04 - _ _ . _ _ _ _ _
2. SUBTOPIC TITLE:
3. PROPOSAL TITLE:
4. SMALL BUSINESS CONCERN (SBC):
NAME:
MAILING ADDRESS:
CITY/STATE/ZIP:
PHONE: FAX:
EIN/TAX ID: DUNS + 4: CAGE CODE:
NUMBER OF EMPLOYEES:
5. AMOUNT REQUESTED \$ _____ DURATION: _____ MONTHS
6. CERTIFICATIONS: OFFEROR CERTIFIES THAT:

As defined in Section 1 of the Solicitation, the offeror certifies:

- | | | |
|---|-----|----|
| a. The Principal Investigator is “primarily employed” by the organization as defined in the SBIR Solicitation | Yes | No |
| b. As referenced in Section 5.13.16, PI is U.S. Citizen or Permanent Resident | Yes | No |

As defined in Section 2 of the Solicitation, the offeror qualifies as a:

- | | | |
|--|-----|----|
| c. SBC | Yes | No |
| Number of employees: _____ | | |
| d. Socially and economically disadvantaged SBC | Yes | No |
| e. Woman-owned SBC | Yes | No |
| f. HUBZone-owned SBC | Yes | No |

As defined in Section 3.2.4 Part 11 of the Solicitation indicate if

- | | | |
|---|-----|----|
| g. Work under this project has been submitted for Federal funding only to the NASA SBIR Program | Yes | No |
| h. Funding has been received for work under this project by any other Federal grant, contract, or subcontract | Yes | No |

As described in Section 3 of this solicitation, the offeror meets the following requirements completely:

- | | | |
|---|-----|----|
| i. All 11 parts of the technical proposal are included in part order | Yes | No |
| j. Subcontracts/consultants proposed? | Yes | No |
| i) If yes, limits on subcontracts/consultants met | Yes | No |
| ii) If yes, copy of agreement enclosed | Yes | No |
| k. Government equipment or facilities required (cannot use SBIR funds)? | Yes | No |
| i) If yes, signed statement enclosed in Part 8 | Yes | No |
| ii) If yes, non-SBIR funding source identified in Part 8? | Yes | No |

7. ACN NAME: E-MAIL:
8. I understand that providing false information is a criminal offense under Title 18 US Code, Section 1001, False Statements, as well as Title 18 US Code, Section 287, False Claims.
9. ENDORSEMENT BY SBC OFFICIAL:
- | | |
|------------|---------|
| NAME: | TITLE: |
| PHONE: | E-MAIL: |
| SIGNATURE: | DATE: |

NOTICE: This data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this proposal, provided that a funding agreement is awarded to the offeror as a result of or in connection with the submission of this data, the Government shall have the right to duplicate, use or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages _____ of this proposal.

Guidelines for Completing SBIR Cover Sheet

Complete Cover Sheet Form A electronically.

1. **Proposal Number:** This number does not change. The proposal number consists of the four-digit subtopic number and four-digit system-generated number.
2. **Subtopic Title:** Enter the title of the subtopic that this proposal will address. Use abbreviations as needed.
3. **Proposal Title:** Enter a brief, descriptive title using no more than 80 keystrokes (characters and spaces). Do not use the subtopic title. Avoid words like "development" and "study."
4. **Small Business Concern:** Enter the full name of the company submitting the proposal. If a joint venture, list the company chosen to negotiate and receive contracts. If the name exceeds 40 keystrokes, please abbreviate.

Address:	Address where mail is received
City, State, Zip:	City, 2-letter State designation (i.e. TX for Texas), 9-digit Zip code (i.e. 20705-3106)
Phone, Fax:	Number including area code
EIN/Tax ID:	Employer Identification Number/Taxpayer ID
DUNS + 4:	9-digit Data Universal Number System plus a 4-digit suffix given by parent concern
CAGE Code:	Commercial Government and Entity Code (Issued by Central Contractor Registration (CCR))

5. **Amount Requested:** Proposal amount from Budget Summary. The amount requested should not exceed \$70,000 (see Sections 1.4.1, 5.1.1).

Duration: Proposed duration in months. The requested duration should not exceed 6 months (see Sections 1.4.1, 5.1.1).

6. **Certifications:** Answer Yes or No as applicable for 6a, 6b, 6c, 6d, 6e, 6f, 6g and 6h (see the referenced sections for definitions).
 - 6b. Offerors are responsible for ensuring that all employees who will work on this contract are eligible under export control and International Traffic in Arms (ITAR) regulations. Any employee who is not a U.S. citizen or a permanent resident may be restricted from working on this contract if the technology is restricted under export control and ITAR regulations. Violations of these regulations can result in criminal or civil penalties.
 - 6h. SBCs should choose "No" to confirm that work under this project has not been funded under any other Federal grant, contract or subcontract.
- 6j. Subcontracts/consultants proposed? By answering yes, the SBC certifies that subcontracts/consultants have been proposed and arrangements have been made to perform on the contract, if awarded.
 - i) If yes, limits on subcontracting and consultants met: By answering yes, the SBC certifies that business arrangements with other entities or individuals do not exceed one-third of the work (amount requested including cost sharing if any, less fee, if any) and is in compliance with Section 3.2.4, Part 9.
 - ii) If yes, copy of agreement enclosed: By answering yes, the SBC certifies that a copy of any subcontracting or consulting agreements described in Section 3.2.4 Part 9 is included as required. Copy of the agreement may be submitted in a reduced-size format.
- 6k. Government furnished equipment required? By answering yes, the SBC certifies that unique, one-of-a-kind Government Furnished Facilities or Government Furnished Equipment are required to perform the proposed activities (see Sections 3.2.4 Part 8, 3.3.4 Part 5, 5.17). By answering no, the SBC certifies that no such Government Furnished Facilities or Government Furnished Equipment are required to perform the proposed activities.
 - i) If yes, signed statement enclosed in Part 8: By answering yes, the SBC certifies that a statement describing the uniqueness of the facility and its availability to the offeror at specified times, signed by the appropriate Government official, is enclosed in the proposal.
 - ii) If yes, non-SBIR funding source identified in Part 8: By answering yes, the SBC certifies that it has a confirmed, non-SBIR funding source for whatever charges may be incurred when utilizing the required Government facility.

7. **ACN Name and E-mail:** Name and e-mail address of Authorized Contract Negotiator.
8. **Endorsement of this form certifies understanding of this statement.**
9. **Endorsement:** An official of the firm must electronically endorse the proposal cover.

FORM B – SBIR PROPOSAL SUMMARY

Subtopic Number

1. Proposal Number **04** - _ _ . _ _ _ _ _ _ .
2. Subtopic Title
3. Proposal Title
4. Small Business Concern
Name:
Address:
City/State:
Zip:
Phone:
5. Principal Investigator/Project Manager
Name:
Address:
City/State:
Zip:
Phone:
E-mail:
6. Technical Abstract (Limit 200 words or 2,000 characters, whichever is less):
7. Potential NASA Application(s): (Limit 100 words or 1,500 characters, whichever is less)
8. Potential Non-NASA Commercial Application(s): (Limit 100 words or 1,500 characters, whichever is less)

Guidelines for Completing SBIR Proposal Summary

Complete Proposal Summary Form B electronically.

1. **Proposal Number:** Same as Cover Sheet.
2. **Subtopic Title:** Same as Cover Sheet.
3. **Proposal Title:** Same as Cover Sheet.
4. **Small Business Concern:** Same as Cover Sheet.
5. **Principal Investigator/Project Manager:** Enter the full name of the PI/MS and include all required contact information.
6. **Technical Abstract:** Summary of the offeror's proposed project in 200 words or less. The abstract must not contain proprietary information and must describe the NASA need addressed by the proposed R/R&D effort.
7. **Potential NASA Application(s):** Summary of the direct or indirect NASA applications of the project, assuming the goals of the proposed R/R&D are achieved. Limit your response to 100 words or 1,500 characters, whichever is less.
8. **Potential Non-NASA Commercial Application(s):** Summary of the direct or indirect NASA applications of the project, assuming the goals of the proposed R/R&D are achieved. Limit your response to 100 words or 1,500 characters, whichever is less.

FORM C – SBIR BUDGET SUMMARY

PROPOSAL NUMBER:

SMALL BUSINESS CONCERN:

DIRECT LABOR:

Category	Hours	Rate	Cost \$
TOTAL DIRECT LABOR: (1)			
			\$ _____
OVERHEAD COST: (2)			
			\$ _____
TOTAL OTHER DIRECT COSTS: (3)			
			\$ _____
SUBTOTAL: (4)			
			\$ _____
GENERAL & ADMINISTRATIVE (G&A) COSTS: (5)			
			\$ _____
TOTAL COSTS (6)			
			\$ _____
PROFIT/COST SHARING: (7)			
			\$ _____
AMOUNT REQUESTED: (8)			
			\$ _____

OVERHEAD COST

_____ % of Total Direct Labor or \$ _____

OTHER DIRECT COSTS (ODCs):

Category

Cost
\$

Explanation of ODCs

(1)+(2)+(3)=(4)

GENERAL & ADMINISTRATIVE (G&A) COSTS

_____ % of Subtotal or \$ _____

(4)+(5)=(6)

ADD PROFIT or SUBTRACT COST SHARING
(As applicable)

(6)+(7)=(8)

PHASE I DELIVERABLES: Upon selection, SBCs will be required to submit mandatory deliverables such as progress reports, final report and New Technology report as per their contract. Samples of all required contract deliverables are available in the NASA SBIR/STTR Firms Library via the NASA SBIR homepage (<http://sbir.nasa.gov>). If your firm is proposing any additional deliverables, list them below:

Deliverable	Quantity	Project Delivery Milestone
_____	_____	_____
_____	_____	_____
_____	_____	_____

AUDIT AGENCY: If a Federal agency has ever audited your accounting system, please identify the agency, office location, and contact information below:

Agency: _____ Office/Location: _____
 Phone: _____ Email: _____

Guidelines for Preparing SBIR Budget Summary

Complete Budget Summary Form C electronically.

The offeror electronically submits to the Government a pricing proposal of estimated costs with detailed information for each cost element, consistent with the offeror's cost accounting system.

This summary does not eliminate the need to fully document and justify the amounts requested in each category. Such documentation should be contained, as appropriate, in the text boxes provided on the electronic form.

Firm: Same as Cover Sheet.

Proposal Number: Same as Cover Sheet.

Direct Labor: Enter labor categories proposed (e.g., Principal Investigator/Project Manager, Research Assistant/Laboratory Assistant, Analyst, Administrative Staff), labor rates and the hours for each labor category.

Overhead Cost: Specify current rate and base. Use current rate(s) negotiated with the cognizant Federal auditing agency, if available. If no rate(s) has (have) been negotiated, a reasonable indirect cost (overhead) rate(s) may be requested for Phase I for acceptance by NASA. Show how this rate is determined. The offeror may use whatever number and types of overhead rates are in accordance with the firm's accounting system and approved by the cognizant Federal negotiating agency, if available. Multiply Direct Labor Cost by the Overhead Rate to determine the Overhead Cost.

Example: A typical SBC might have an overhead rate of 30 percent. If the total direct labor costs proposed are \$50,000, the computed overhead costs for this case would be $.3 \times 50,000 = \$15,000$, if the base used is the total direct labor costs.

or provide a number for total estimated overhead costs to execute the project.

Note: If no labor overhead rate is proposed and the proposed direct labor includes all fringe benefits, you may enter "0" for the overhead cost line.

Other Direct Costs (ODCs):

- Materials and Supplies: Indicate types required and estimate costs.
- Documentation Costs or Page Charges: Estimate cost of preparing and publishing project results.
- Subcontracts: Include a completed budget including hours and rates and justify details. (Section 3.2.4, Part 9.)
- Consultant Services: Indicate name, daily compensation, and estimated days of service.
- Computer Services: Computer equipment leasing is included here.

List all other direct costs that are not otherwise included in the categories described above.

Explanations of all items identified as ODCs must be provided under "Explanation of ODCs." Offeror should include the basis used for estimating costs (vendor quote, catalog price, etc.) For example, if "Materials" is listed as an ODC, include a description of the materials, the quantity required and basis for the proposed cost.

Note: NASA will not fund the purchase of capital equipment or supplies that are not to be delivered to the government or consumed in the production of a prototype. The cost of capital equipment should be depreciated and included in G&A if appropriate.

Subtotal (4): Sum of (1) Total Direct Labor, (2) Overhead and (3) ODCs

General and Administrative (G&A) Costs (5): Specify current rate and base. Use current rate negotiated with the cognizant Federal negotiating agency, if available. If no rate has been negotiated, a reasonable indirect cost (G&A) rate may be requested for acceptance by NASA. Show how this rate is determined. If a current negotiated rate is

not available, NASA will negotiate a reasonable rate with the offeror. Multiply (4) subtotal (Total Direct Cost) by the G&A rate to determine G&A Cost.

or provide an estimated G&A costs number for the proposal.

Total Costs (6): Sum of Items (4) and (5). Note that this value will be used in verifying the minimum required work percentage for the SBC.

Profit/Cost Sharing (7): See Sections 5.11 and 5.12. Profit to be added to total budget, shared costs to be subtracted from total budget, as applicable.

Amount Requested (8): Sum of Items (6) and (7), not to exceed \$70,000.

Deliverables and Audit Information (9):

Deliverables: List any additional deliverables, if applicable. Include the deliverable name, quantity (include unit of measurement, i.e., 2 models or 1.5 lbs. of material), and the proposed delivery milestone (i.e., end of contract). This section should only be completed if the offeror is proposing a deliverable in addition to the mandatory deliverables (progress report, final report and New Technology Report).

Audit Agency: Complete the “Contact Information” section if your firm’s accounting system has been audited by a Federal agency. Provide the agency name, the office branch or location, and the phone number and/or email.

SBIR CHECK LIST

For assistance in completing your proposal, use the following checklist to ensure your submission is complete.

1. The entire proposal including any supplemental material shall not exceed a total of 25 8.5 x 11 inch pages (Section 3.2.1).
2. The proposal and innovation is submitted for one subtopic only. (Section 3.1).
3. The entire proposal is submitted consistent with the requirements and in the order outlined in Section 3.2
4. The technical proposal contains all eleven parts in order. (Section 3.2.4).
5. Certifications in Form A are completed.
6. Proposed funding does not exceed \$70,000. (Sections 1.4.1, 5.1.1).
7. Proposed project duration should not exceed 6 months. (Sections 1.4.1, 5.1.1).
8. Entire proposal including Forms A, B, and C submitted via the Internet.
9. Form A electronically endorsed by the SBC Official.
10. **Proposals must be received no later than 5:00 p.m. EDT on Thursday, September 9, 2004** (Section 6.3).